

**Streamlined
Request for Qualifications**
(Electronic Submission Required)

Preconstruction Engineering Services

for

Project No. S-0040(124)105
US-40; Myton Bench Widening

October 1, 2013
Addendum 1 ~~September 23, 2013~~

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Summary Sheet

Please direct all questions regarding Utah Department of Transportation's (UDOT) Streamlined Request for Qualifications (RFQ) and the selection process to the UDOT Contract Administrator and all questions concerning the project to the Project Manager contact.

1. **Project Number:** S-0040(124)105
2. **Location:** US-40; Myton Bench Widening
3. **ePM PIN No.:** 11358
4. **Requested Services:** Preconstruction Engineering Services
5. **Source(s) of Funding:** State
6. **UDOT Contract Administrator:** Phil Ellsworth
Contract Administrator
Utah Department of Transportation
Consultant Services
Box 148490
4501 South 2700 West
Salt Lake City, Utah 84129-5998
801/957-8681
pellsworth@utah.gov
7. **UDOT Project Management:** Larry Montoya
Project Manager
Utah Department of Transportation
Region 3
658 North 1500 West
Orem, UT 84057
801/~~227-8055~~ ~~965-4925~~
lmontoya@utah.gov
8. **Streamlined Statement of Qualifications (Streamlined SOQ) Deadline:**
See the Selection Schedule on Page 4

Submit one electronic PDF file of the Streamlined SOQ (unless directed otherwise in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*) to Phil Ellsworth by email at pellsworth@utah.gov prior to 11:00 AM on the submission date found in the Selection Schedule on Page 4. **If SOQs are sent to RFQ Selection Team members there will be a two-point deduction.** You will receive an email acknowledgment of receipt.

Streamlined SOQs will not be accepted after the 11:00 AM deadline

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9. **Qualification Based Selection:** This is a Qualifications Based Selection (QBS) process based on the Brooks Act. Cost is NOT a factor in the ranking of consultants to provide the services described in Appendix C *Scope of Work* on Page 21. Refer to Page 7 for additional information regarding the consultant selection process. The Brooks Act can be found on Page 26.

10. **Type of Streamlined SOQ Required:** Prepare SOQs in accordance with Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*, see Page 12.

If there are any changes affecting the Streamlined RFQ, notice will be sent out via an e-mail through the Consultant Services update service.

11. **Optional Oral Interviews:** Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, the RFQ Selection Team may determine it is necessary to have interviews in order to make a selection. **Refer to the Selection Schedule on Page 4 for potential interview date.**

12. **Notice to Proceed:** To be issued by Consultant Services after contract execution. Direction to begin work from any other source is invalid and will result in non-payment for services provided without authorized notification to begin work.

13. **Project Completion:** Approximately 12 months from Notice to Proceed.

14. **Forms:** Examples of UDOT Consultant Services forms referred to throughout this RFQ are available on the UDOT Web site www.udot.utah.gov/go/csforms.

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Consultant Selection Schedule

Date	Day	Action
9-23-13	Monday	Posting of Streamlined RFQ on UDOT Consultant Services Project Advertisement website
10-15-13	Tuesday	Streamlined SOQs are due electronically by 11:00 AM.
10-22-13	Tuesday	Streamlined RFQ Selection Team Meeting
10-29-13	Tuesday	Consultant Selection Interviews
10-29-13	Tuesday	Consultant Selection
11-04-13	Monday	Mandatory Pre-Negotiation Meeting with Selected Consultant

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Overview:

UDOT Consultant Services staff facilitates RFQ Selection Teams through the ranking and selection of consultants to provide engineering services for transportation related projects. Consultant selection is a Qualification-Based Selection (QBS) process, where the primary factor in selection is the qualification-based criteria outlined by the RFQ Selection Team in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications* rather than the cost of engineering services. Cost is a secondary factor after a Consultant is selected and the negotiation process begins.

The RFQ Selection Team will review and evaluate submitted SOQs. SOQs are ranked for qualifications, based on pre-determined criteria. If the RFQ Selection Team determines Consultant Selection Interviews are needed in order to determine final ranking, then interviews will be included in the process. Final ranking will be determined by the average of the RFQ Selection Team members' scores from SOQs and Consultant Selection Interviews, if necessary (see Selecting by Consent on Page 18).

UDOT follows federal regulations in selecting consultants for engineering services, based on the Brooks Act (40 U.S.C. 11) found on Page 26. Cost is **NOT** a factor in the selection ranking of a Consultant to provide services. All price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used in SOQs. Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.

DO NOT include any reference to Consultant costs in the Streamlined SOQ. Any Streamlined SOQ submitted with ANY discussion of cost (other than cost control measures) **WILL BE DISQUALIFIED.**

Project Dates:

Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meetings. Consultants are also advised to meet other dates outlined in the Selection Schedule on Page 4. If a consultant fails to meet these dates the consultant will be considered non-responsive.

Required Percentage of Work for Prime Consultant:

The Consultant must perform work valued at not less than **60%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items that are not usually furnished by a Consultant performing the particular type of service requested in Appendix C *Scope of Work*.

Required Completion and Acceptance Criteria:

Progress payments will be made for work in progress. Final invoice payment, shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by UDOT as accurate and complete.

Applicable Federal and State Regulations:

The Consultant shall conform to all applicable state and federal regulations.

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Debarment Certification:

Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work:

Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

Required Key Personnel Qualification:

The Consultant shall be responsible to ensure all personnel proposed under this Streamlined RFQ are qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of UDOT standard practices.

The Consultant is expected to complete the form Appendix B *Proposed Key Personnel to Be Used on UDOT Project*. Completed forms in SOQs should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in the Streamlined SOQ but will not count as one of the allowed pages.**

UDOT's requirement for listing current or former UDOT employees as key personnel in Streamlined SOQs is as follows:

- If a firm lists a former UDOT employee on the Streamlined SOQ who officially left UDOT employment prior to the submission date of the Streamlined SOQ, the firm will not be disqualified.
- If the firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, **the firm will be disqualified.**
- In addition, if a firm lists a UDOT employee who was involved in the development of the RFQ for this project, whether they are a current employee of UDOT or not, **the firm will be disqualified.**
- These requirements apply to prime and sub-consultants.

Required Availability of Key Personnel:

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* Form, the Consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

Required Streamlined SOQ Contents:

The Streamlined SOQ from the Consultant should contain the information identified in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

Streamlined SOQ Evaluation Procedures:

The RFQ Selection Team will evaluate the Streamlined SOQ in accordance with the criteria described in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

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Conditions of Proposal:

All costs related to the preparation of the Streamlined SOQ and any related activities such as interviews are the sole responsibility of the Consultant. UDOT assumes no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Streamlined SOQs:

Streamlined SOQs and their content become the property of UDOT and are treated as protected documents and are disposed of according to UDOT policies. UDOT reserves the right to reject all Streamlined SOQs. The Streamlined SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. Streamlined SOQs of Consultants who are not awarded contracts shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the Streamlined SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the Streamlined SOQ will be disclosed and that, unless the Consultant withdraws the Streamlined SOQ, it will be disclosed. If the Consultant withdraws their Streamlined SOQ, the Consultant will not be awarded the contract.

Ownership of Documents:

All tracings, plans, manuscripts, specifications, data, maps, etc. prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of UDOT.

Financial Screening:

UDOT requires consultants to be Financially Screened prior to performing work for UDOT. The selected Consultant has two weeks after selection to complete the financial screening process. **Inability to complete the financial screening process will disqualify the Consultant's SOQ, unless the delay is due to problems or delays by UDOT.**

The time it takes a Consultant to complete the Financial Screening process varies and therefore UDOT encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site www.udot.utah.gov/go/csforms. For questions, contact the Consultant Services Financial Screener at 801/965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

Audits:

Prior to final contract award, an audit may be conducted by UDOT of the selected Consultant. This audit will be for the purpose of ensuring the selected firm is financially capable of performing the contract, the cost information and prices quoted are reasonable,

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and the selected Consultant has adequate accounting practices to ensure accurate tracking of contract costs. UDOT reserves the right to inspect Consultant records associated with this project, including financial records, as deemed necessary during the term of the contract.

Prior to final acceptance of the contract work, UDOT may conduct a closing audit of the Consultant. This closeout audit will be performed upon completion of the contract to verify the accuracy of all billings and compliance with the contract provisions.

In the event that a proposing Consultant has failed to pay UDOT monies due to UDOT for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's Streamlined SOQ. Disqualification will be based on audit findings, determinations, and recommendations made by the UDOT Fiscal Audit Division.

Insurance Certificates:

The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Current insurance requirements can be found at www.udot.utah.gov/go/csmanuals.

Health Reform – Health Insurance Coverage in State Contracts Requirements:

As required by UCA 72-6-107.5, effective July 1, 2009, UDOT will not enter into a contract of \$1,500,000 or more with a prime Consultant or \$750,000 or more with a sub-consultant without demonstration of compliance regarding the offering of "Qualified Health Insurance Coverage" to their employees. Prior to issuing a Notice to Proceed, the Consultant must demonstrate compliance with the provisions of Administrative Rule R-916-5. A Consultant's inability to adequately demonstrate compliance may be grounds for determining a Streamlined SOQ non-responsive and UDOT moving on to negotiate with the new first-ranked responsive firm.

Subscription to the UDOT Consultant Services Update Service:

UDOT recommends Consultants interested in proposing a Streamlined SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT Web site www.udot.utah.gov/go/subscriptionlist.

If there are any changes affecting the Streamlined RFQ, notice will be sent out via an e-mail through the update service.

Consultant and/or Corporate Logos or Branding:

Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. This requirement does not apply to Streamlined SOQs. For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801/965-4639 or ghettrick@utah.gov.

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Consultants and/or corporations are specifically restricted from placing logos or branding on the following items:

- Plan Sheets or Title Blocks
- Environmental Documents
- Standard UDOT Forms
- Project Websites
- Cover Pages
- Headers/Footers; and
- Information and Display Boards for Public Meetings

Consultants are encouraged to place their company logos or brandings in their Streamlined SOQs.

Conflict of Interest:

UDOT has determined there is an appearance of a Conflict of Interest when a Consultant performs both design and construction engineering management on the same project. Therefore, Consultants will not be eligible to participate as part of the Construction Engineering Management Team for this project if they performed design services. Refer to the “Design and CEM by Same Consultant” notice placed on the website at www.udot.utah.gov/go/csforms.

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Appendix A

Guidelines for Preparing Streamlined Statement of Qualifications

Introduction:

These guidelines were developed to standardize the preparation of a Streamlined SOQ by Consultants for engineering services on a UDOT project. Submitting a Streamlined SOQ is the beginning of the selection process and is used as the basis for selecting or for short-listing Consultants. If the RFQ Selection Team determines interviews are necessary prior to selection, a minimum of at least two Consultants will be short-listed and invited to an interview by the RFQ Selection Team.

The purpose for these guidelines is to ensure consistency in format and content in the Streamlined SOQ prepared by Consultants and submitted to UDOT. Preparing a Streamlined SOQ instead of a detailed proposal reduces the time requirements for consultants and simplifies the review process for the RFQ Selection Team.

Electronic Submission:

UDOT's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all Streamlined SOQ submission to be received solely by electronic means.

Streamlined SOQ Sections:

The Streamlined SOQ should contain the following sections in the order listed:

1. Cover Page
2. Project Team
3. Capability of the Consultant
4. Approach to the Project
5. Appendix B *Proposed Key Personnel to be Used on UDOT Project*

Streamlined SOQ Evaluation Criteria:

The Streamlined SOQ evaluation criteria are listed below in red.

1. **Cover Page**

The Cover Page is one page. It must be on the Prime Consultant's letterhead and consist of the following with no additional information:

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Cover Page	
Date	
RFQ Name and Description	
Prime Firm	
Prime Firm's Federal ID#	
Sub-consultants (if any)	
Primary Contact	
Primary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Secondary Contact	
Secondary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Signature Block	
Name	
Title	
Signature	

The information is not required to be in this exact format, as long as each item of requested information is presented, **with no additional information**. If there is any other information provided in the Cover Page, the Cover Page will be stripped from the SOQ and will not be provided to the RFQ Selection Team. **In addition, a one-point deduction will be assessed if the Cover Page includes additional information.**

No evaluation points are assigned to this section and the Cover Page will not count as one of the allowed pages.

2. **Project Team** – The RFQ Selection Team will evaluate how well the qualifications and experience of the proposed project team members relate to the specific project. The RFQ Selection Team recommends the following information be provided.

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- Project team flow charts including sub-consultants (see sample *Project Organization and Related Experience Chart* available on the UDOT Web site www.udot.utah.gov/go/csforms).
- Describe the qualifications, experience, and availability of key personnel on your project team. (NOTE: Do not include percentages of availability as this may be misinterpreted as a reference to cost.)
- Provide a spreadsheet list of projects **completed** by key team members during the last five years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Related Experience Chart* available on the UDOT web site www.udot.utah.gov/go/csforms.) Note: Columns may be combined in order to meet the font size and margin requirements under *Streamlined SOQ Format Requirements* on Page 15.
 - Name of Project Manager
 - Year
 - Type of Project
 - Project Name
 - Project Location
 - Project Description
 - Construction Estimate Cost - \$Million
 - Services Performed / Specific Project Role
 - Client
 - Reference Contact and Telephone Number

A maximum of 20 points is available for this section.

3. **Capability of the Consultant** – The RFQ Selection Team will evaluate the Consultant's capability to perform the work.
- Describe your firm's capability to perform the work.
 - Describe any unique qualifications your firm has to perform this type of work.
 - Describe your firm's internal quality and cost control procedures.
 - Describe your firm's experience with the specific type of work identified in Appendix C *Scope of Work*
 - Identify the location of the main office of the proposing firm and the logistics relating to how the project team will provide the services requested.
 - Describe the overall performance record of the proposed project team firms.
 - Provide an analysis of the project team firms' current workload

A maximum of 20 points is available for this section.

4. **Approach to the Project** – The RFQ Selection Team will evaluate how well you have planned a basic course of action, what alternatives and/or preliminary approaches are proposed, and what provisions are identified for dealing with potential impacts.

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- Briefly describe the course of action proposed to meet the needs, goals or objectives of the project. Be realistic, clear and concise.
- Identify key project milestones.
- Identify potential project risks, impacts, impediments, and conflicts along with potential mitigation.
- Identify approaches to completing the project within the funding stream.
- Identify initial approach to widening to reduce environmental and drainage impacts.
- Recommend optimal phasing options as it relates to the anticipated funding stream for the overall project.
- In as much detail as possible describe the approach to the project identifying innovative solutions to identified or perceived challenges

A maximum of 60 points is available for this section.

5. **Appendix B Proposed Key Personnel to be Used on UDOT Project** -- The Consultant is expected to complete the Appendix B *Proposed Key Personnel to be Used on UDOT Project* (see example in this RFQ). Firms are not required to use this example form, as long as all necessary information is included in a form presented in the SOQ. The form must state the certification and education levels of the individuals proposed for use on this contract, including sub-consultants' personnel.

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the services in the contract at whatever level the project requires.

The completed form must be included in the SOQ, but will not count as one of the allowed pages. No other information is allowed on these pages. No evaluation points are assigned to this section.

Streamlined SOQ Format Requirements:

It is very important that SOQs be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the RFQ Selection Team.

A maximum total of 100 points is available for the Streamlined SOQ.

One-point penalty deductions:

1. **8½ x 11 Size Paper Only** – If there are exceptions to this requirement, they are addressed below in the list of Disqualifications.
2. **One-inch (1") Margins** – Exceptions: Consultant Name/Logo and Page Headers/Footers may be within margin.
3. **Font and Spacing Requirement** – The body of the SOQ is required to be written with a 10-point [or greater] standard Arial or Times New Roman font, including the Cover Page, Project Experience Table and Appendix B *Proposed Key Personnel to be Used on UDOT Project*. Exceptions will be made for section headings, paragraph headings, graphics, headers and footers. Excepted text may be any other font and size as long as

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the text is reasonable and can be easily read by reviewers without the need of magnification in order to understand what is being presented. The minimum line spacing is 12-point.

4. **Charts, Graphs, and Pictures** – Optional and counted as page(s). If the graphic is a duplicate from another source, it must be referenced. Charts, graphs, headings, and headers/footers are excepted from the font requirements, see font requirement above.
5. **Page Headers/Footers** – May be within the one-inch margins; and must include Project Number, Project Location/Description, and Current Date.
6. **Cover Page** – Is required as the first page of the PDF, but does not count towards the page maximum. The Cover Page must be on the Prime Consultant's letterhead and is limited to the instructions provided. The Cover Page may be presented in any format the Consultant chooses, i.e. text, chart, etc. The Cover Page must meet the font requirement above. No additional informational information is allowed. No additional back page is allowed.
7. **Appendix B Proposed Key Personnel to be Used on UDOT Project** – The completed form is required and will not count towards the page maximum.

A one-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirements for a maximum seven-point penalty per Streamlined SOQ.

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Two-point penalty deductions:

8. **Do not send SOQs to RFQ Selection Team Members** – send SOQs to the contract administrator, not directly to any RFQ Selection Team members, see instructions on Page 2.

Two-point penalties will be assessed by Consultant Services for violation of the above format requirement(s).

Disqualifications:

9. **Late Submission** – Any SOQ received by Consultant Services after the 11:00 AM deadline.
10. **Electronic PDF Submission** – Submit one PDF file (containing all of the SOQ sections in the order presented in Streamlined SOQ Sections on Page 12) to Phil Ellsworth at pellsworth@utah.gov.
11. **Cost Discussion** – Do not include any reference to costs in the Streamlined SOQ. Cost discussions are not allowed (other than cost control measures). Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.
12. **Use of UDOT staff** – Use of current UDOT employees or former staff who were involved in the development of the Streamlined RFQ. Refer to Required Key Personnel Qualification on Page 8 for more information.
13. **Financial Screening** – Consultants are required to complete the UDOT Financial Screening process within two weeks of selection. Refer to Financial Screening discussion on Page 9 for further details.
14. **Four (4) Page Maximum** – (Cover Page and Appendix B *Proposed Key Personnel to be Used on UDOT Project* do not count towards the page maximum.)

A page is defined as a single-sided 8.5" x 11" sized sheet that contains text, pictures, tables, graphs, charts, plan sheets, or any other graphics.

Do not include a reference or link to additional information. If SOQs contain references or links, UDOT Consultant Services will assume additional pages are used.

15. **Other** – UDOT reserves the right to disqualify a Streamlined SOQ when the intent of the Streamlined RFQ process is violated.

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Any Streamlined SOQs committing violations to the above format requirements will be disqualified by Consultant Services and will not be reviewed by the RFQ Selection Team.

Streamlined RFQ Selection Team:

The RFQ Selection Team members will receive copies of each responsive Streamlined SOQ submitted. They will review and score the Streamlined SOQs individually based on the evaluation criteria and submit their scores and comments to the UDOT Contract Administrator. The Administrator will tally and compile the scores and comments. The RFQ Selection Team will then meet to discuss the SOQs and comments from individual RFQ Selection Team members and determine whether interviews are necessary or whether the selection may be made based on the averaged scores from the Streamlined SOQs. Final Streamlined SOQ score results are the average of voting RFQ Selection Team members' scores.

Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, if the RFQ Selection Team determines it is necessary to have interviews in order to make a selection, the members will develop the format of the interviews in the RFQ Selection Team Meeting by completing the *Consultant Selection - Interview Format Worksheet* found on the web site www.udot.utah.gov/go/csforms.

Selection Interviews:

The Streamlined RFQ is intended to reduce the level of effort required to compete for and administrate the selection process. Interviews are anticipated to take place rarely (i.e. in the event the first place ranking is a tied score of two or more firms, or other extenuating circumstances).

If the RFQ Selection Team determines interviews are necessary, examples of project-specific topics may include such issues for discussion as:

- Understanding of the Work
- Approach to the Project
- Schedule Control
- Management of Project

"Selecting by Consent" Process:

The final selection process during interviews will be performed using the "Selecting by Consent" (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the RFQ Selection Team in developing final ranking through a collaborative process. In this process each segment and question of the interview is weighted in advance during the RFQ Selection Team Meeting. After the interviews are conducted, the RFQ Selection Team scores each segment and question by "consent". Consent is defined as the willingness of all RFQ Selection Team members to accept a decision reached by a collaborative process. The final ranking is based on the final scores developed by the RFQ Selection Team using the *Consultant Selection -*

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Interview Scores Example found on the UDOT web site www.udot.utah.gov/go/csforms.
See the form for more information regarding this process.

Summary:

The Streamlined SOQ should be clear, concise, and it should provide the RFQ Selection Team Members with an understanding of the proposed Consultant Team's ability to undertake and complete the proposed project successfully in a thorough, efficient and timely manner.

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Appendix B

Proposed Key Personnel to Be Used On UDOT Project

Name	Firm Name	Title (Proposed on project)	Certification Category/Level	Utah License/ Certification No.	Other State License/ Certification No.	Education Level

- Include all key personnel who are proposed to work on UDOT project including sub-consultants. Add additional pages if needed.
- If a Consultant has a change in key personnel during a project, they are required to submit the proposed change in writing within 10 working days to the UDOT Project Manager (and Local Government, if applicable) for approval. If the Project Manager (PM) approves, the PM will forward the change and their approval to UDOT Consultant Services and the Comptroller's Office within 10 working days. If the PM does not approve, they may request a revision of the proposal, score the Consultant lower on the Consultant Project Evaluation, or terminate the contract.
- The Form and an example of the completed form along with further descriptions of the column headings are available on the UDOT Website www.udot.utah.gov/go/csforms.

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Appendix C
Scope of Work

Overview: This project will consist of widening US-40 to add a WB passing lane, center left turn lane/median and WB outside shoulder from MP 109 +/- south to at least 4765 South (MP 107.6 +/-) and if feasible to 6250 South (MP 106.1 +/-), while considering the improvements listed in the next two sentences. The desire is to provide separated right turn lanes EB and WB (intersection improvements) where feasible. Additionally the extension of the existing EB passing lane from MP 108 +/- to MP 109 +/- will be considered. The purpose of this project is to provide additional passing opportunities and provide a median for left turns and separate right turn lanes along US-40 within the project limits. The maximum limits of this project are from MP 105.32 to MP 109.66. US-40 has a large truck volume and it is therefore UDOT's desire to provide additional passing opportunities where practical and feasible in order to improve safety. The funding for the original concept of this project is \$ 15 million dollars split over two funding years (FY 2014 {\$ 9 million} and FY 2017 {\$ 6 million}). This will require that the underground work such as possible box culvert widening, retaining walls, drainage and utilities relocation be completed sufficiently so as to minimize the amount of that work to be done in the FY 2017 project to be known as PIN 11807. The consultant will also be asked to identify and design as part of the project in both the EB and WB directions a UHP/Motor Carrier "pull out" area for commercial vehicle size/weight and safety inspection enforcement.

The consultant will be required to innovatively determine the best way to split the project over the funding years while still meeting the needs as mentioned and making the immediate safety improvements required in the FY 2014 funded portion of the project. It is anticipated that the consultant will design the fully improved roadway section and then recommend how to bid the project over multiple years.

It is the intent of UDOT to provide this improvement while minimizing the impact to the traveling public, residents, businesses, etc. This will be accomplished through a quality set of plans, specifications, estimate, a good communication plan and MOT planning.

The consultant will provide the following services and deliverables:

- Project management and design lead
- Risk management (using the UDOT Risk Matrix)
- Roadway design
- Drainage design
- Hydraulics and irrigation design
- Structure design (possible box culvert extension near MP 106.5 +/- and possible retaining walls throughout project. The bridge in the town of Myton will not be widened as part of this project)
- Traffic and safety design
- Surveying/Mapping

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- Geotechnical services
- Landscaping/Aesthetic design as needed
- Utility design (which includes the development of the utility sheets) and SUE designations level B with possible SUE level A as determined by the project team
- Right of Way Design as needed
- Provide PI services as appropriate for design input
- Provide assistance to the Region Three staff in the following areas as requested: environmental document preparation, utility coordination (this work will not include contacting the utility companies unless directed by the Region Three Utility Coordinator) and pavement design (this work may include obtaining samples for CBR determination, etc).

Design will require the use of Microstation and InRoads and development of plan sheets, quantities, estimates, specifications and supporting documents for an advertising package that meets the current UDOT standards and requirements. The project will be completed using the UDOT 2011 project delivery network.

The consultant team is expected to fulfill the following requirements:

- Team should consist of individuals with experience delivering similar types of projects
- Provide a project manager with UDOT project delivery experience and management experience delivering projects with roadway and minor structure design elements
- Provide digital signatures on all documents and plans
- Problem solve and be innovative in project approach to deliver the full scope of the project within budget and in time
- Develop performance specification for traffic management
- Coordinate project meetings with key project personnel and UDOT personnel to discuss project needs/issue and report on progress and schedule
- Coordinate with the Region Environmental group to assist them in the completion of the environmental document
- Ensure the inclusion of the environmental commitments in the project plans, specifications and documents.
- Develop design for the box culvert extension and other drainage issues
- Provide staff familiar with UDOT's ROW design processes and experience performing ROW design duties, as needed
- Develop the final design and produce the plans, specifications, estimate and supporting advertisement documents for the project including PDC, design exception, design waivers, deviations from standards, etc; as needed (Please note at the Departments option the may be one or two advertising packages to be determined by the funding stream)

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- Design and submit necessary documents, plans and CADD files using UDOT's ProjectWise system
- All CADD files will be developed from current UDOT Standard Seed files which are Geo-Referenced (see Appendix D)
- Develop and update/maintain the project schedule in Microsoft Project within the UDOT domain
- Complete project schedule updates biweekly in Microsoft project
- Provide QC/QA documentation following the UDOT QC/QA procedure at each project milestone/submittal
- Supply all necessary items needed to complete the design and submit the full advertising package including ROW as needed) ready for advertisement no later than November 15, 2014
- Coordinate with third party PI consultant firm to be hired by UDOT under a separate contract
- Provide design support through construction. Construction is expected to be completed in the summer of 2015

The design must meet the current UDOT design standards. The plans will be prepared in MicroStation using the most current version in use by UDOT at the time of award and any subsequent updates and will be uploaded into ProjectWise. The advertising package must be compliant with and follow the UDOT advertising procedure. This includes supplying plans in electronic format compatible with UDOT's electronic plan room.

It is the Consultants responsibility to review the UDOT design process manual and other related documents and to understand all that is required for each activity. This information is located on the UDOT website at www.udot.utah.gov/go/manuals .

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Appendix D

Additional Information

QC/QA Plan Requirements:

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. UDOT has adopted QC/QA standards and the Consultant must meet or exceed these requirements. The Standard for Design is available on the UDOT Web site www.udot.utah.gov/go/qcqa
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

UDOT Reference Items:

- The Department has created and will distribute LAS files of the project limits at the request of consultant firms. Please direct all inquiries about the LAS files to:

Michael Butler
Contract Administrator (Consultant)
Utah Department of Transportation
Consultant Services Division
4501 South 2700 West
Salt Lake City, Utah 84129-5998
801/965-4419
michaelbutler@utah.gov

- UDOT CADD use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS).
- UDOT Construction Manual of Instruction (available online at the UDOT Web site www.udot.utah.gov/go/Manuals).
- UDOT Consultant Services Manual of Instruction (available on-line at the UDOT Web site www.udot.utah.gov/go/CSManuals).
- UDOT Mapping and Aerial Photogrammetry Manual (available on line at the UDOT web site , <http://www.udot.utah.gov/main/f?p=100:pg:0::1T,V:808.66001>)
- UDOT Drainage Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT Environmental Process Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).

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- Other UDOT manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT ProjectWise use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS).
- UDOT Reference Material (available on-line from the UDOT Web site at www.udot.utah.gov/go/StandardsReferences).
- UDOT Right of Way Design and Operations Manuals (available on-line from the UDOT Web site at www.udot.utah.gov/go/Manuals).
- UDOT Roadway Design Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT Standards (available on-line from the UDOT Web site at www.udot.utah.gov/go/2012Standards).
- UDOT Traffic and Safety Highway Sign Policies and Manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/HighwaySignPolicy).
- UDOT 2013 Strategic Direction & Performance Measures (available on-line from the UDOT web site at www.udot.utah.gov/go/StrategicDirection).
- State of Utah Web Standards and Guidelines are available on-line from the web site at <http://www.utahta.wikispaces.net/Application+Architecture>).

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The Brooks Act of 1972:

Federal Government Selection of Architects and Engineers

United States Code (U.S.C.) Title 40 - Public Buildings, Property and Works

Chapter 11, Section 1101 - 1104: Selection of Architects and Engineers

§ 1101. Policy (Formerly 40 U.S.C. § 541)

The policy [of the Federal Government] is to publicly announce all requirements for architectural and engineering services and to negotiate contracts for architectural and engineering services on the basis of demonstrated competence and qualification for the type of professional services required and at fair and reasonable prices.

§ 1102. Definitions (Formerly 40 U.S.C. § 542)

In this chapter, the following definitions apply:

1. **Agency head.**- - The term "agency head" means the head of a department, agency, or bureau [of the Federal Government].
2. **Architectural and engineering services.**- - The term "architectural and engineering services" means- -
 - A. professional services of an architectural or engineering nature, as defined by state law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide the services described in this paragraph;
 - B. professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and
 - C. other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.
3. **Firm.**- - The term "firm" means an individual, firm, partnership, corporation, association, or other legal entity permitted by law to practice the profession of architecture or engineering.

§ 1103. Selection procedure (Formerly 40 U.S.C. § 543)

- a. **In general.**- - These procedures apply to the procurement of architectural and engineering services by an agency head.
- b. **Annual statements.**- - The agency head shall encourage firms to submit annually a statement of qualifications and performance data.
- c. **Evaluation.**- - For each proposed project, the agency head shall evaluate current statements of qualifications and performance data on file with the agency, together with statements submitted by other firms regarding the proposed project. The agency head shall conduct discussions with at least 3 firms to consider anticipated concepts and compare alternative methods for furnishing services.
- d. **Selection.**- - From the firms with which discussions have been conducted, the agency head shall select, in order of preference, at least 3 firms that the agency head considers most highly qualified to provide the services required. Selection shall be based on criteria established and published by the agency head.

§ 1104. Negotiation of contract (Formerly 40 U.S.C. § 544)

- a. **In general.**- - The agency head shall negotiate a contract for architectural and engineering services at compensation which the agency head determines is fair and reasonable to the Federal Government. In determining fair and reasonable compensation, the agency head shall consider the scope, complexity, professional nature, and estimated value of the services to be rendered.
- b. **Order of negotiation.**- - The agency head shall attempt to negotiate a contract, as provided in subsection (a), with the most highly qualified firm selected under [section 1103](#) of this title. If the agency head is unable to negotiate a satisfactory contract with the firm, the agency head shall formally terminate negotiations and then undertake negotiations with the next most qualified of the selected firms, continuing the process until an agreement is reached. If the agency head is unable to negotiate a satisfactory contract with any of the selected firms, the agency head shall select additional firms in order of their competence and qualification and continue negotiations in accordance with this section until an agreement is reached.